

11/20/01

JC840 U.S. PTO

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.: 2001_1727A

First Named Inventor : Kazunori NUMATA et al.

Title: OPTICAL TRANSMISSION SYSTEM

Express Mail Label No.:

11/20/01
PTO
09/988706
U.S. PTO**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)2. ☐ Small Entity Status is hereby asserted.3. ☒ Specification [Total Pages: 37]
(preferred arrangement set forth below)

- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Sequence Listing, a table, or a computer program listing appendix.

- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 USC 113) [Total Sheets: 13]5. ☒ Oath or Declaration [Total Pages : 3]

- a.1. ☒ Newly executed (original or copy)
- a.2. ☐ Unexecuted
- b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)

i. ☐ **DELETION OF INVENTOR(S)**Signed statement attached deleting inventor(s) named
in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).6. ☐ Application Data Sheet (see 37 CFR 1.76)7. ☐ CD-ROM or CD-R in duplicate, large table or computer
program (Appendix)8. ☐ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

- a. ☐ Computer Readable Form
- b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ Paper
- c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- 9. ☒ Assignment Papers (cover sheet & document(s))
- 10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)
 - ☐ Power of Attorney
- 11. ☐ English Translation Document (if applicable)
- 12. ☒ Information Disclosure Statement (IDS)/PTO-1449
 - ☒ Copies of IDS Citations
- 13. ☐ Preliminary Amendment
- 14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically
itemized)
- 15. ☒ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
- 16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i).
Applicant must attach form PTO/SB/35 or its equivalent.
- 17. ☐ Other

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below, and in a preliminary amendment, or
in an Application Data Sheet :☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.

Prior Application Information: Examiner

Group Art Unit

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied
under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by
reference therein. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**19. CORRESPONDENCE ADDRESS**

000513

PATENT TRADEMARK OFFICE

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November 20, 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Kazunori NUMATA et al.

Serial No. NEW

Filed November 20, 2001

OPTICAL TRANSMISSION SYSTEM

THE COMMISSIONER IS AUTHORIZED
TO CHARGE ANY DEFICIENCY IN THE
FEES FOR THIS PAPER TO DEPOSIT
ACCOUNT NO. 23-0975

: Attn: APPLICATION BRANCH

: Attorney Docket No. 2001_1727A

PATENT OFFICE FEE TRANSMITTAL FORM

Assistant Commissioner for Patents,
Washington, DC 20231

Sir:

Attached hereto is a check in the amount of \$948.00 to cover Patent Office fees relating to filing the following attached papers:

New application \$740.00

Assignment for Recordal \$ 40.00

Additional Claims Fee:

Excess of Twenty \$

Independent \$168.00

Multiple Dependent Fee \$

A duplicate copy of this paper is being submitted for use in the Accounting Division, Office of Finance.

The Commissioner is authorized to charge any deficiency or to credit any overpayment associated with this communication to Deposit Account No. 23-0975, with the EXCEPTION of deficiencies in fees for multiple dependent claims in new applications.

Respectfully submitted,

Kazunori NUMATA et al.

By Charles R. Watts

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CRW/asd

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November 20, 2001

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